



**Office of Transit Safety and Oversight
Office of Safety Review
State Safety Oversight Triennial Audit
Corrective Action Plan Approval and Disposition**

Date of Meeting with WMSC (May 5, 2022) / Date signed document sent to WMSC (May 13, 2022)

State Safety Oversight Agency (SSOA): Washington Metrorail Safety Commission (WMSC)

Date of Audit: April 26–May 24, 2021

Date of Final Audit Report: January 11, 2022

Date Corrective Action Plan(s) Submitted: March 24, 2022

Date FTA Approved CAP(s): 2022

Date FTA Closed CAPs: TBD

Total CAPs	= 11
Closed 2/14	= 3
Closed 3/24	= 4
Open as of 5/5	= 4

The table below outlines 11 Findings from the Final Audit Report and provides the approval determination and disposition for the proposed Corrective Action Plan (CAP).

Finding & Required Action	Summary of Proposed CAP	Projected Target Action Date	CAP Approval (Yes/No)	Approved Target Action Date	Disposition
<p>Finding 1 - Section 5.1 Part 674.11(d) – WMSC did not document the staffing levels needed for the SSO program.</p> <p>Required Action: WMSC must develop, submit, and implement a revised workload assessment that reflects an appropriate staffing level for overseeing the WMATA.</p>	<p>As part of the Program Standard review and update (expected to occur at the WMSC’s June 28, 2022 Public Meeting), new language will be added incorporating the workload assessment into the annual WMSC budget process or as needed based on programmatic changes.</p>	6/28/2022	Yes	6/28/2022	In addition to the revised Program Standard, provide an updated workload assessment.



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<p>Finding 2- Section 6.1. Part 674.25(b) – WMSC did not have a documented process for review and approval of WMATA’s PTASP.</p> <p>Required Action: WMSC must develop, submit, and implement a documented process for reviewing and approving WMATA’s PTASP.</p>	<p>As part of the Program Standard review and update (expected to occur at the WMSC’s June 28, 2022 Public Meeting), the PTASP review and update section will be revised to clearly document the process for reviewing and approving WMATA’s PTASP. This revision will also clearly require that both the WMSC and WMATA will use the FTA’s SSOA PTASP Checklist during these annual reviews.</p>	<p>6/28/2022</p>	<p>Yes</p>	<p>6/28/2022</p>	<p>In addition to the revised Program Standard, (Confirmed – FTA has approved WMATA PTASP, WMSC to email PTASP checklist). FTA has PTASP approval documents.</p>
<p>Finding 3 - Section 7.1 Part 674.27(a)(4) – WMSC did not ensure that all elements of the PTASP were internally reviewed and that CAPs resulting from internal safety review findings were approved.</p> <p>Required Action: WMSC must ensure that WMATA conducts internal reviews for all PTASP elements and that resulting CAPs are submitted, reviewed, approved, and tracked.</p>	<p>WMSC will submit WMATA’s Internal Review schedule to FTA which will verify all PTASP elements will be reviewed in a three-year cycle.</p>	<p>3/24/2022</p>	<p>Yes</p>	<p>Closed</p>	<p>This Finding is Closed</p>
<p>Finding 4 - Section 8.1 Part 674.33(a) – WMSC did not ensure that WMATA notified WMSC and FTA of all reportable accidents within the FTA two-hour notification requirement.</p> <p>Required Action: WMSC must update, submit, and implement a process that ensures WMATA notifies FTA and WMSC of all reportable accidents within two hours.</p>	<p>WMSC must update, submit, and implement a process that ensures WMATA notifies FTA and WMSC of all reportable accidents within two hours.</p>	<p>2/14/2022</p>	<p>Yes</p>	<p>Closed</p>	<p>This Finding is Closed.</p>



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<p>Finding 5 - Section 8.2 Part 674.35(a) – WMSC did not ensure investigations were conducted for all accidents</p> <p>Required Action: WMSC must submit and implement a process that ensures all accidents are investigated as required.</p>	<p>WMSC must submit and implement a process that ensures all accidents are investigated as required.</p> <p>WMSC provided copy for three adopted reports listed in Table 8.2 of Final Audit report.</p>	3/24/2022	Yes	Closed	<i>This Finding is Closed.</i>
<p>Finding 6 - Section 8.3 674.35(b) – WMSC did not formally adopt all investigation reports.</p> <p>Required Action: WMSC must submit and implement a process that ensures accident reports are formally adopted.</p>	<p>WMSC must submit and implement a process that ensures accident reports are formally adopted.</p>	3/24/2022	Yes	Closed	<i>This Finding is Closed.</i>



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<p>Finding 7 - Section 9.1 Part 674.27(a)(5) – WMSC did not have a process and criteria for conducting a complete audit of WMATA's compliance with its PTASP, particularly for auditing random drug and alcohol testing.</p> <p>Required Action: WMSC must develop and implement a process and criteria for conducting a complete audit of WMATA's compliance with its PTASP at least once every three years.</p>	<p>As part of the Program Standard review and update (expected to occur at the WMSC's June 28, 2022 Public Meeting), the PTASP elements will be listed in the revised Program Standard.</p>	<p>6/28/2022</p>	<p>Yes</p>	<p>6/28/2022</p>	<p>Corrective Action Plan approved.</p>
<p>Finding 8 - Section 9.2 Part 674.31 – WMSC did not conduct a complete triennial audit of WMATA's PTASP.</p> <p>Required Action: WMSC must ensure that the triennial audit reviews all PTASP elements.</p>	<p>WMSC to provide triennial audit schedule (2019– 2022) showing PTASP elements covered by each WMSC audit.</p>	<p>3/24/2022</p>	<p>Yes</p>	<p>Closed</p>	<p><i>This Finding is Closed.</i></p>
<p>Finding 9 - Section 10.1 Part 674.27(a)(8) – WMSC did not ensure that WMATA developed CAPs, as required in the WMSC Program Standard, for hazardous conditions, investigation reports, and internal reviews.</p> <p>Required Action: WMSC must ensure that WMATA identifies and implements CAPs resulting from hazards, and that all required CAPs are submitted, reviewed, approved, and tracked.</p>	<p>WMSC must ensure that WMATA identifies and implements CAPs resulting from hazards, and that all required CAPs are submitted, reviewed, approved, and tracked.</p>	<p>2/14/2022</p>	<p>Yes</p>	<p>Closed</p>	<p><i>This Finding is Closed.</i></p>
<p>Finding 10 - Section 10.2 Part 674.37(a) – WMSC did not ensure that WMATA's CAPs included an accurate schedule and responsible individual.</p> <p>Required Action: WMSC must ensure that their CAP tracking logs are updated and contain all required information, including current</p>	<p>WMSC must ensure that their CAP tracking logs are updated and contain all required information, including current schedules and responsible individuals.</p>	<p>2/14/2022</p>	<p>Yes</p>	<p>Closed</p>	<p><i>This Finding is Closed.</i></p>



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schedules and responsible individuals.					
<p>Finding 11 - Section 11.2 Part 674.39(a) – WMSC submitted an annual report that did not accurately contain all required information.</p> <p>Required Action: WMSC must review the 2020 annual report and ensure that the report contains all required elements.</p>	<p>The WMSC must resolve 2020 (and 2021) annual report errors.</p>	<p>3/24/2022</p>	<p>No</p>	<p>7/29/2022</p>	<p>Notes: 2020/2021 Annual Report has validation issues to resolve.</p> <p>2021 Annual report includes several validation issues for accidents, including 8 missing reports.</p> <p>2021 Annual report includes 14 FTE's, however several validation issues may result in errors.</p> <p>Notes: 2021 Annual report included Program Standard dated 12/2021 and WMATA PTASP dated 10/2021.</p>

Ruth O' Lyons 5/13/2022

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